

IFN

PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paper Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>		Application Number	10/775,868
		Filing Date	February 10, 2004
		First Named Inventor	Lawrence, David
		Art Unit	3624
		Examiner Name	Not yet assigned
Total Number of Pages in This Submission	9	Attorney Docket Number	G08.130/U

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to (TC)
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <i>Form PTO-1449, Search Report, and Acknowledgement Postcard.</i>
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Reply to Missing Parts/ Incomplete Application	<input type="checkbox"/> Landscape Table on CD	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm Name	Buckley, Maschoff & Talwalkar LLC	
Signature		
Printed name	Randolph P. Calhoune	
Date	August 5, 2005	Reg. No. 45,371

CERTIFICATE OF TRANSMISSION/MAILING		
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.		
Signature		
Typed or printed name	Edith Martin	Date August 5, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

In you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: LAWRENCE

Application No.: 10/775,868

Filing Date: February 10, 2004

For: INSIDER TRADING RISK
MANAGEMENT

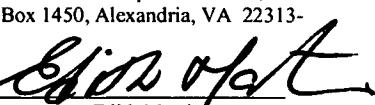
-) Group Art Unit: 3624
-) Examiner: Not yet assigned
-) **INFORMATION DISCLOSURE STATEMENT**
-) Attorney Docket No.: G08.130/U
-) **PTO Customer Number 28062**
-) Buckley, Maschoff & Talwalkar LLC
-) Five Elm Street
-) New Canaan, CT 06840
-)
-)

CERTIFICATE OF MAILING UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on August 5, 2005.

Dated: August 5, 2005

By


Edith Martin

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor

shall the filing of this Information Disclosure Statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 CFR §§1.56, 1.97 and 1.98. The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items listed on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.

The items listed herein were cited in a July 6, 2005 International Search Report in a counterpart PCT application. A copy of the Search Report is also enclosed.

No fee is believed to be due under 37 CFR §1.17(p) for this Information Disclosure Statement since each item listed herein was first cited in a communication from a foreign patent office in a counterpart application not more than three months prior to the below-listed date

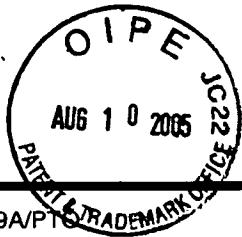
Respectfully submitted,



August 5, 2005

Date

Randolph P. Calhoune
Registration No. 45,371
Buckley, Maschoff & Talwalkar LLC
Five Elm Street
New Canaan, CT 06840
(203) 972-5985



<p>Substitute for form 1449A/PTO TRADEMARK OFFICE</p> <h1>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h1> <p>(use as many sheets as necessary)</p>				<p><i>Complete if Known</i></p> <table border="1"> <tr> <td>Application Number</td> <td>10/775,868</td> </tr> <tr> <td>Filing Date</td> <td>February 10, 2004</td> </tr> <tr> <td>First Named Inventor</td> <td>LAWRENCE, David</td> </tr> <tr> <td>Group Art Unit</td> <td>3624</td> </tr> <tr> <td>Examiner Name</td> <td>Not yet assigned</td> </tr> <tr> <td>Attorney Docket Number</td> <td>G08.130/U</td> </tr> </table>		Application Number	10/775,868	Filing Date	February 10, 2004	First Named Inventor	LAWRENCE, David	Group Art Unit	3624	Examiner Name	Not yet assigned	Attorney Docket Number	G08.130/U
Application Number	10/775,868																
Filing Date	February 10, 2004																
First Named Inventor	LAWRENCE, David																
Group Art Unit	3624																
Examiner Name	Not yet assigned																
Attorney Docket Number	G08.130/U																
Sheet	1	of	2														

Examiner Signature	/Gerald Vizvary/	Date Considered	02/15/2008
-----------------------	------------------	--------------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO				<i>Complete if Known</i>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	10/775,868
				Filing Date	February 10, 2004
				First Named Inventor	LAWRENCE, David
				Group Art Unit	3624
				Examiner Name	Not yet assigned
Sheet	2	of	2	Attorney Docket Number	G08.130/U

Examiner Signature	/Gerald Vizvary/	Date Considered	02/15/2008
-----------------------	------------------	--------------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not

and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.